

# Open Access Policies: From Advocacy to Implementation (The IUPUI Story)

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October 28, 2016

Scholarly Communications Librarian  
IUPUI University Library

Michiana Scholarly Communication Librarianship Conference  
IUSB



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# Outline

- **What:** “Harvard-model” OA policy
- **Where:** IUPUI
- **Retrospective “How”:**
  - Building capacity
  - Advocacy
  - Policy development & the vote
- **Current “How”:**
  - Implementation approach at IUPUI
  - Outcomes after 2 years
  - What’s next

# What are these “Harvard-style” OA policies?

## Key elements:

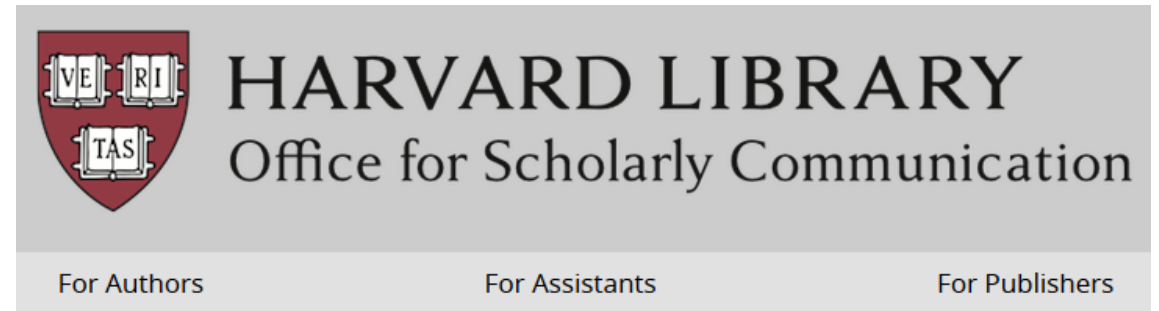
Rights retention

Scholarly articles

Deposit “author’s final version”

Opt out

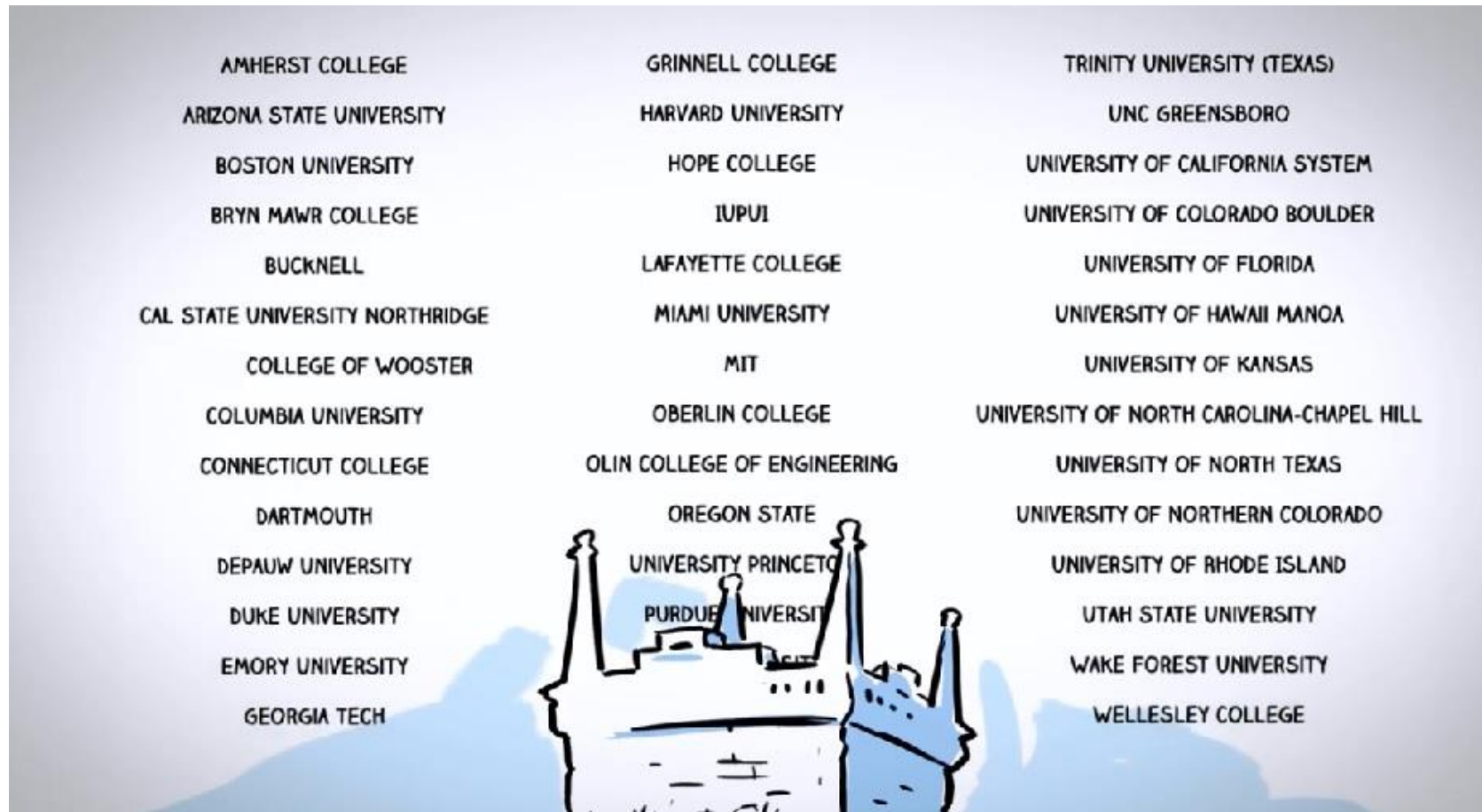
Waivers



Model Open Access Policy

<https://osc.hul.harvard.edu/modelpolicy/>

# OA Policy Institutions ...



Open Access Policies: An Introduction from COAPI - <http://sparcopen.org/coapi/>

# The Harvard Model OA Policy

## It really is a model. Use it.

1 The Faculty of *⟨university name⟩* is committed to disseminating the fruits  
2 of its research and scholarship as widely as possible. In keeping with  
3 that commitment, the Faculty adopts the following policy: Each Faculty  
4 member grants to *⟨university name⟩* permission to make available his or  
5 her scholarly articles and to exercise the copyright in those articles. More  
6 specifically, each Faculty member grants to *⟨university name⟩* a nonexclu-  
7 sive, irrevocable, worldwide license to exercise any and all rights under  
8 copyright relating to each of his or her scholarly articles, in any medium,  
9 provided that the articles are not sold for a profit and to authorize others

A Model Open-Access Policy. Stuart M. Shieber,  
Harvard Library, Office for Scholarly  
Communication.  
<https://osc.hul.harvard.edu/modelpolicy/>

### PREAMBLE

The faculty of Indiana University-Purdue University Indianapolis is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the faculty adopts the following policy.

### Policy Statement

#### GRANT OF LICENSE AND LIMITATIONS

Each Faculty member grants to The Trustees of Indiana University permission to make available his or her scholarly articles which are deemed Traditional Works of Scholarship under the Intellectual Property Policy <http://policies.iu.edu/policies/categories/administration-operations/intellectual-property/intellectual-property.shtml> and to exercise the copyright in those articles. More specifically, each Faculty member retains copyright and grants to the Trustees of Indiana University a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, for the purpose of making their articles widely and freely available in an open access repository, provided that the articles are not sold, and appropriate attribution is given to authors, and to authorize others to

Open Access Policy, IUPUI Faculty Council (October 7, 2014). <https://openaccess.iupui.edu/policy>

# IUPUI

## Indiana University Purdue University Indianapolis



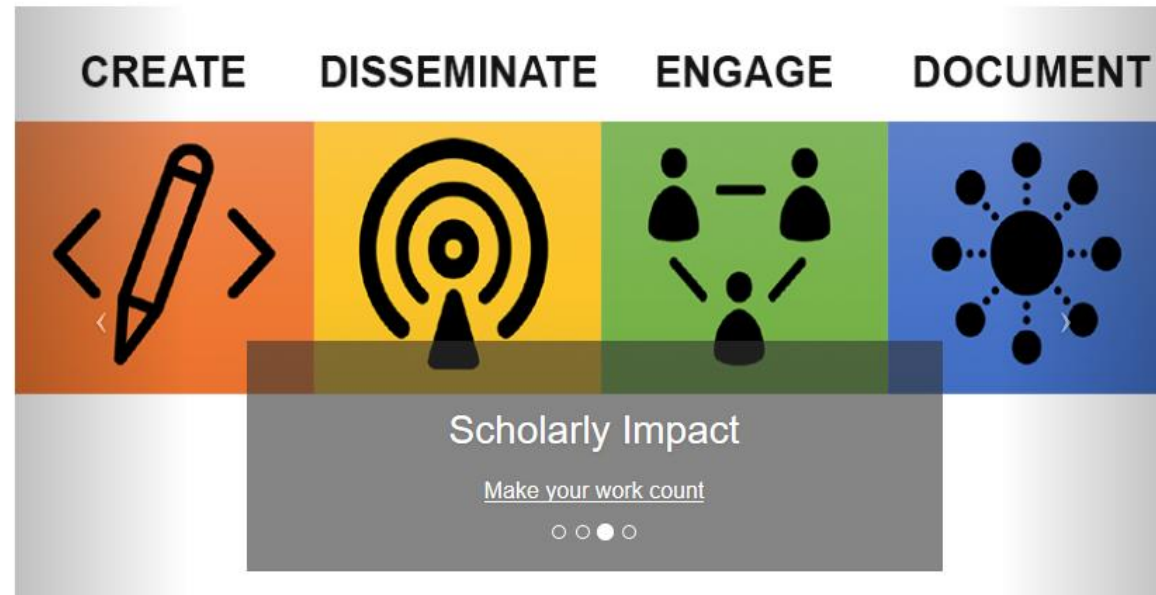
- A campus for IU and PU degrees (IU administration)
- 30,000 students (22k undergrads & 8k grad students)
- 2,500 - 3,000 faculty
- 17 schools ... including the IU School of Medicine (1,700-1,900 faculty)
- \$429 million in external funding (Medicine: \$302 million)
- **2,775 articles** authored or co-authored in 2015 (Scopus Search)

# IUPUI University Library Center for Digital Scholarship



Center for Digital Scholarship

About the Center ▾ Digitization ▾ Open Access ▾ Publishing ▾ Data Support ▾ Digital Humanities ▾



<http://ulib.iupui.edu/digitalscholarship>





**IUPUI  
OFFICE OF THE FACULTY  
COUNCIL**

INDIANA UNIVERSITY-PURDUE UNIVERSITY  
INDIANAPOLIS

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## Open Access

Circular 2014-10

### FULL POLICY CONTENTS

[Scope](#)  
[Policy Statement](#)  
[Reason for Policy](#)  
[FAQs](#)  
[Definitions](#)

Effective: *October 7, 2014, by the IUPUI Faculty Council*  
Last Updated:

Faculty Council Committee:  
*Library Affairs*

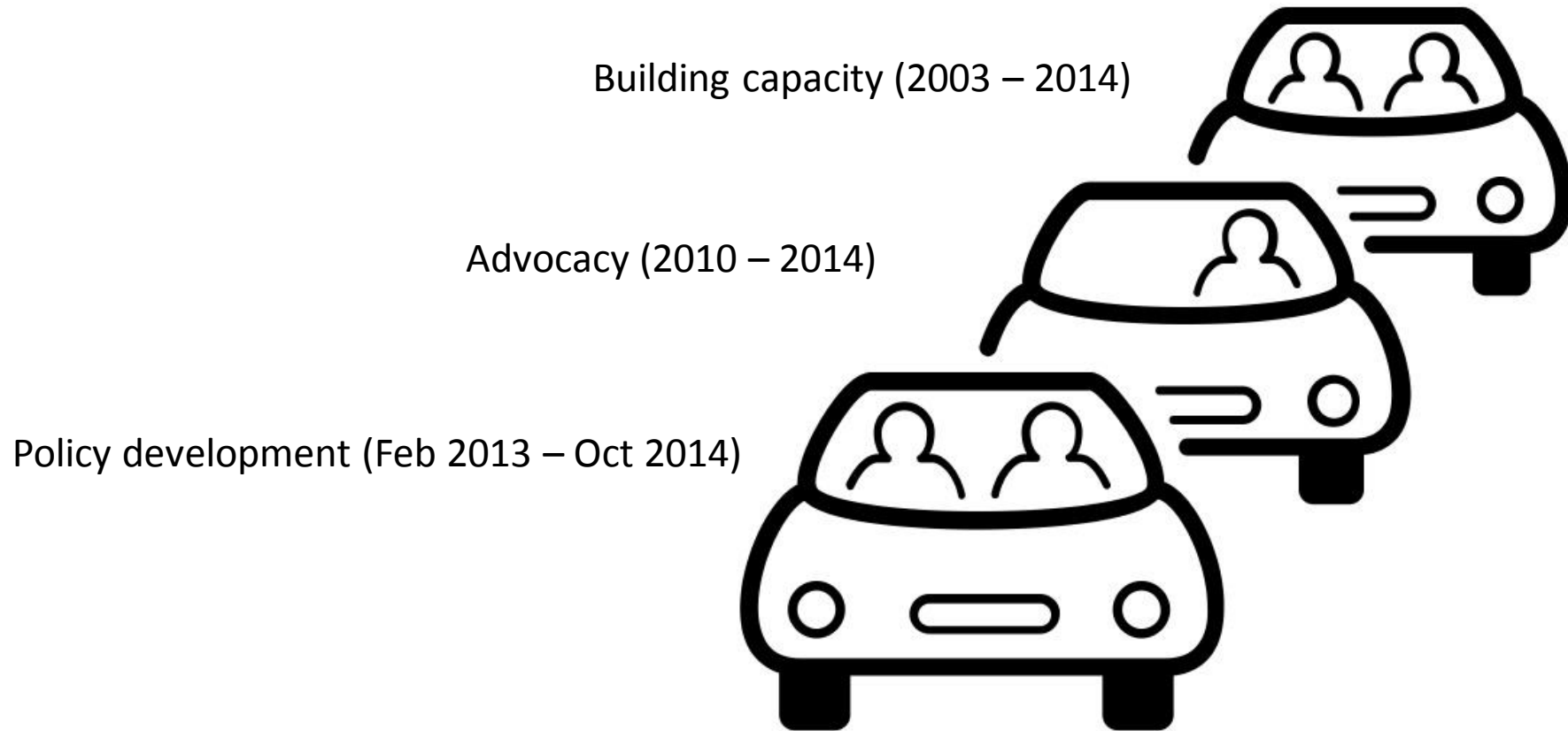
Policy Contact:  
*Angela Bruzzaniti, Chair*  
[abruzzan@iupui.edu](mailto:abruzzan@iupui.edu)

[http://www.iupui.edu/~fcouncil/committees/library\\_affairs/open\\_access\\_policy\\_2014-10.pdf](http://www.iupui.edu/~fcouncil/committees/library_affairs/open_access_policy_2014-10.pdf)



# Adopting the Faculty OA Policy

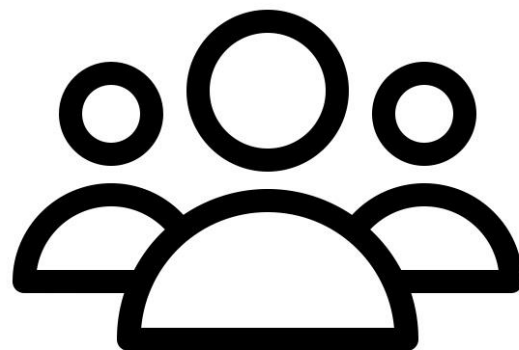
## How did we get there?



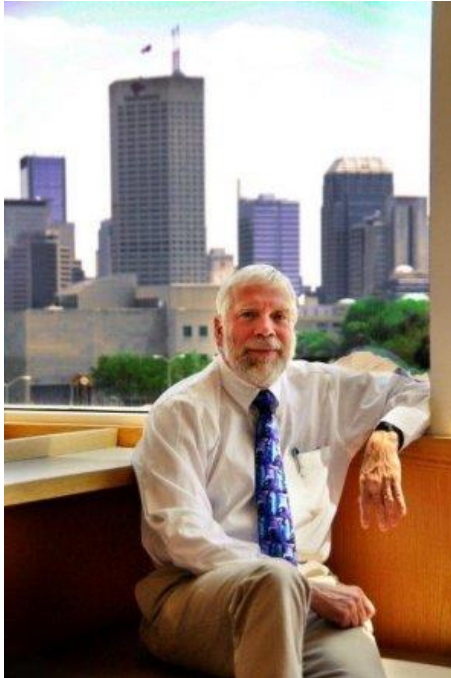
# Building Capacity for an OA Policy

(2003 – 2014)

(What were IUPUI librarians doing to get ready?)



# 1. Supportive Library Leadership



## Conclusions

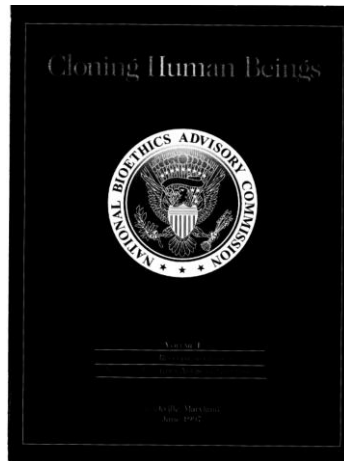
- Purchased library collections will be used less
- Continued increases in collection budgets at the rates of the past several decades will not be justifiable
- Performance oversupply (Christensen)
- Open Access will need to be successful and libraries will have to help make this happen

David W. Lewis. *A Demand-Side View of the Future of Library Collections*. Fall 2004 Coalition for Networked Information Task Force Meeting, Portland, OR, December 7, 2004. <http://hdl.handle.net/1805/172>

## 2. Institutional Repository

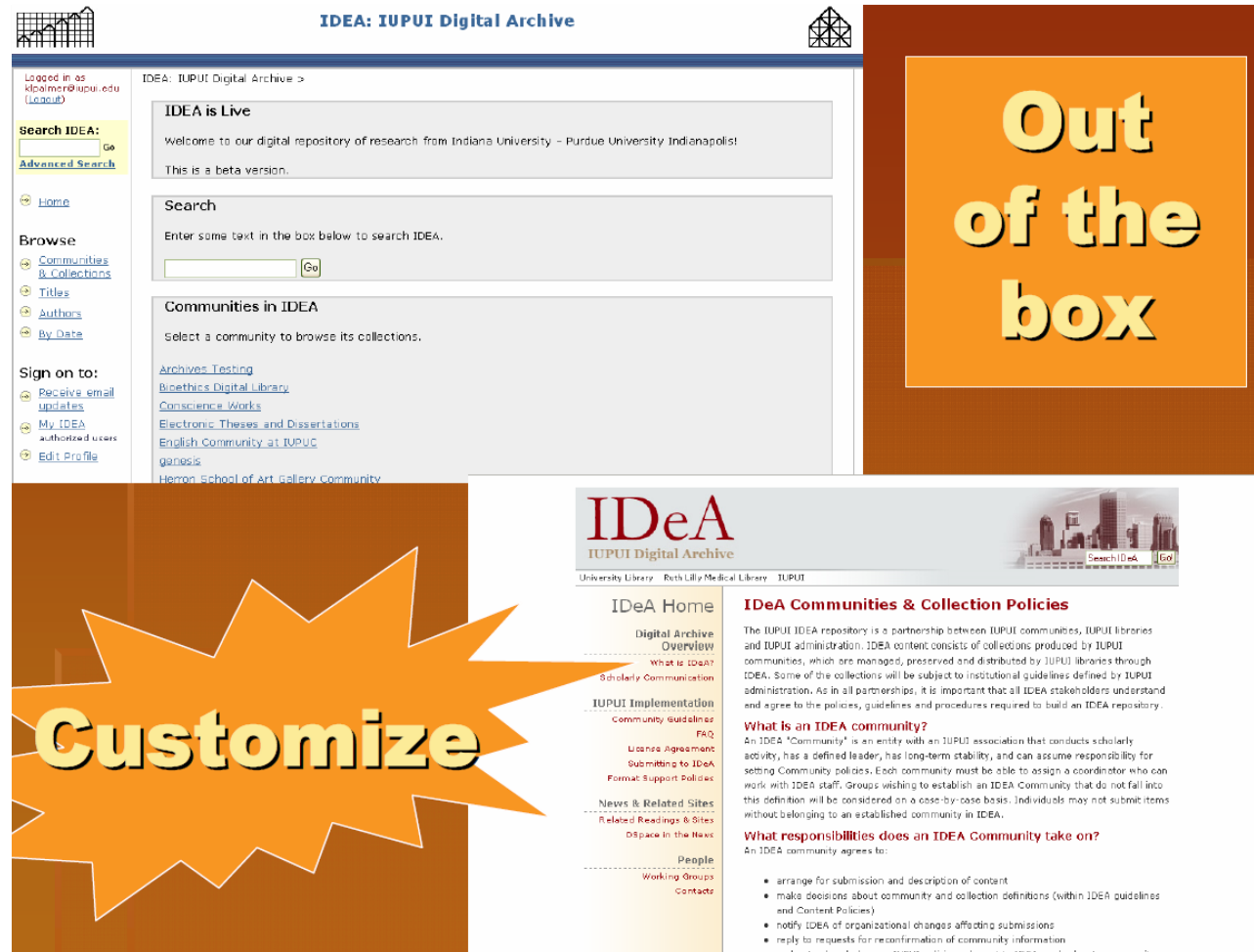
August 2003

IUPUI uploaded the first of 7 items to IDeA (IUPUI Digital Archive)



National Bioethics Advisory Commission. *Cloning Human Beings*.  
Vol. 1, June 1997. Available from: <http://hdl.handle.net/1805/18>

# 3.1 Retooling the Institutional Repository (2005)



Emily Dill, Kevin F. Petsche, Kristi L. Palmer. *What's the Big IDeA: Institutional Digital Repositories @ Your Library*. Association of College and Research Libraries 2005 Conference in Minneapolis, Minnesota. <http://hdl.handle.net/1805/224>

## 3.2 Retooling the Institutional Repository (2008)

The screenshot shows the IUPUI ScholarWorks website. The header includes the IUPUI logo and navigation links. The main content area features a welcome message, a featured item, and a list of communities. A sidebar on the left contains search and account options. A callout bubble points to the 'Communities' list.

**IUPUI** INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS  
University Library [About](#) | [Contact Us](#) | [Send Feedback](#)

### IUPUIScholarWORKS

**Search Repository**  
   
[Advanced Search](#)

**Browse**  
Browse by...

**My Account**  
[Login](#)  
[Register](#)

**Information**  
[About](#)  
[Contact Us](#)  
[Send Feedback](#)

Welcome to IUPUIScholarWorks. For those of you familiar with IDEa: IUPUI's Digital Archive, IUPUIScholarWorks includes all the content that IDEa did. University Library has redesigned the look, functionality, and name of the repository to better serve its community of users. As with IDEa, IUPUIScholarWorks is a digital repository service that collects, preserves, and distributes digital material. Repositories are important tools for preserving an organization's legacy; they facilitate digital preservation and scholarly communication. Submissions in digital form include preprints, working papers, theses and dissertations, conference papers, presentations, student capstone projects, faculty-created learning objects, data sets, and more. For more information, consult [IUPUIScholarWorks' FAQ](#).

**Featured Item**  
[Steps to Research Skills: Your Ideal Job](#)  
Hanna, Kathleen A.

**Communities in IUPUI ScholarWorks Repository**  
Select a community to browse its collections.

- [Bioethics Digital Library](#)
- [Conscience Works](#)
- [Electronic Theses and Dissertations](#)
- [English Community at IUPUC](#)
- [Herron School of Art](#)
- [IUPUI General Community of Scholarship](#)
- [IUPUI International Club](#)
- [Indiana Bioinformatics Conferences](#)
- [Indiana Eugenics: History & Legacy, 1907-2007](#)
- [Indiana Geographic Information Council](#)
- [Indiana Legal Materials](#)
- [Indiana Libraries : Journal of the Indiana Library Federation & the Indiana State Library](#)
- [Indiana Public Health Digital Library](#)
- [Library Community](#)
- [Life Sciences](#)
- [Midwest Research-to-Practice Conference](#)
- [Moi University/IUPUI Partnership Community](#)
- [School of Informatics](#)
- [School of Library and Information Science](#)
- [Test IUPUI Community](#)
- [genesis](#)

Total Number of Downloads : 2911354  
Downloads this Month: 125747

**Related Links**  
[Digital Scholarship](#)  
[Faculty Grants](#)  
[eArchives](#)  
[Digital Collection of IUPUI University Library](#)  
[Open Journal System at IUPUI](#)  
[IUScholarWorks](#)  
[Open content from Indiana University](#)

[Share / Save](#)

[About](#) | [Contact Us](#) | [Send Feedback](#)

Began archiving ETDs in 2005  
(~ 200 per year)

## 3.3 Retooling the Institutional Repository (2013-2015)

**Ψ** INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS

### ScholarWorks

Search articles, posters, and other scholar works...

What is ScholarWorks?

Upload Your Work

Get Help

Statistics

#### Upload Your Work

Sharing your work with a world of readers is easy. If this is your first upload, a librarian will be in touch to identify a collection for your submission.

Have a question? Contact us at:  
IUPUI University Library Center for Digital Scholarship  
[digschol@iupui.edu](mailto:digschol@iupui.edu) | 317-274-8230

### Communities in IUPUI ScholarWorks Repository

Select a community to browse its collections.

- [Center for Research and Learning](#)
- [Center for Service and Learning](#)
- [Center for Translating Research Into Practice \(TRIP\)](#)
- [Division of Diversity, Equity and Inclusion](#)

#### My Account

[Login](#)  
[Register](#)

#### Discover

Author  
Indiana Libraries (111)

Emphasis on benefits to authors ...

Emphasis on uploading (not browsing) ...

Reflecting campus organizations ...



# 4.1 Retooling the OA Repository *Service* (2009) Author's Rights?

0 items

**ADDENDUM TO PUBLICATION AGREEMENTS FOR CIC<sup>3</sup> AUTHORS**

This ADDENDUM hereby modifies and supplements the attached Publication Agreement between:

Corresponding Author \_\_\_\_\_

Additional Authors (if any) \_\_\_\_\_

\_\_\_\_\_

AND

Publisher \_\_\_\_\_

Related to Manuscript titled \_\_\_\_\_

\_\_\_\_\_

To appear in Journal, Anthology, or Collection titled \_\_\_\_\_


\_\_\_\_\_

PUBLISHER AND AUTHOR AGREE THAT WHERE THERE ARE CONFLICTING TERMS BETWEEN THE

Committee on Institutional Cooperation - <https://www.cic.net/>


## 4.2 Retooling the OA Repository *Service* (2010 - 2011)

### Meditated Deposit Pilot



#### IUPUI Faculty Scholarship

- Designed to take the burden off our faculty members when placing items in our institutional repository.
  - Take publication list from faculty member's CV
  - Run publishers through SHERPA/RoMEO <http://www.sherpa.ac.uk/romeo/>
  - Receive permission from faculty member
  - Contact publisher if necessary
  - Obtain correct version of article
  - Publish to IUPUI ScholarWorks in appropriate school/department collection.
- Drupal (open source content management system)
  - Allows for automated emails to faculty and publishers
  - Allows for creation/tracking of forms and license agreements
  - Allows for record keeping
  - Allows for status updates
- Training existing staff members on emerging technologies.
  - Acquisitions
  - BAMS (Bibliographic and Metadata Services)
- <http://www.ulib.iupui.edu/projects/>



**OASIS**  
Open Access to Scholarly WritingS

**60 items**

Cheryl B. Truesdell, Kimberly Thompson, and Sherri Michaels (2010). *Raising the Profile of IU Scholarship: Institutional Repositories (and more) at IU*. Presented at Statewide IT Conference 2010, Bloomington, IN.  
[http://opus.ipfw.edu/lib\\_facpres/22](http://opus.ipfw.edu/lib_facpres/22)

## 4.3 Retooling the OA Repository *Service* (2013)



Rob & Dani, Coffee Wine and Chocolate, 2007. CC-BY 2.0 <https://www.flickr.com/photos/rob-qld/2889139947>

“Find Readers. Get Cited.  
Share Knowledge.”

“We make it easy.”

- Mediated deposit.
- Targeted outreach to prolific authors of journal articles.

**700+ items**

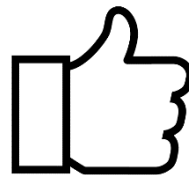
# 5. Setting an “audacious” goal. (2014)

(Building capacity while establishing that the library can manage the work of an OA policy.)

**“Open access archiving rate should equal 50% of the annual publication rate for journal articles at IUPUI.”**

Archive 1,000 scholarly articles in 2014.  
(42%)

(mostly “retrospective” mediated deposit)



**“Big Hairy Audacious Goal (BHAG)”**

ARL-ACRL Institute on Scholarly Communication workshop. Pre-ACRL Meeting, Spring 2013. Indianapolis.

# Advocating for an OA Policy



# 1.1 Advocacy: Walking the Talk

## **IUPUI Library Faculty Deposit Mandate**

[Home](#) » IUPUI Library Faculty Deposit Mandate

On April 5, 2009, IUPUI Library Faculty Council passed the IUPUI Library Faculty Deposit Mandate. The text of this mandate appears below. To view IUPUI Library faculty research visit: <https://scholarworks.iupui.edu/handle/1805/26>

### IUPUI Library Faculty Deposit Mandate

The IUPUI Library Faculty is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the IUPUI Library Faculty adopts the following policy:  
DEPOSIT MANDATE. To assist the University in providing open access to all scholarly articles published by the

IUPUI Library Faculty Deposit Mandate, April 5, 2009:

<http://www.ulib.iupui.edu/digitalscholarship/openaccess/OAmandate>

# 1.2 Advocacy: Walking the Talk

Do librarians self-archive their own work? Do they?

[IUPUIScholarWorks Repository](#) → [University Library](#) → University Library Faculty and Staff Research

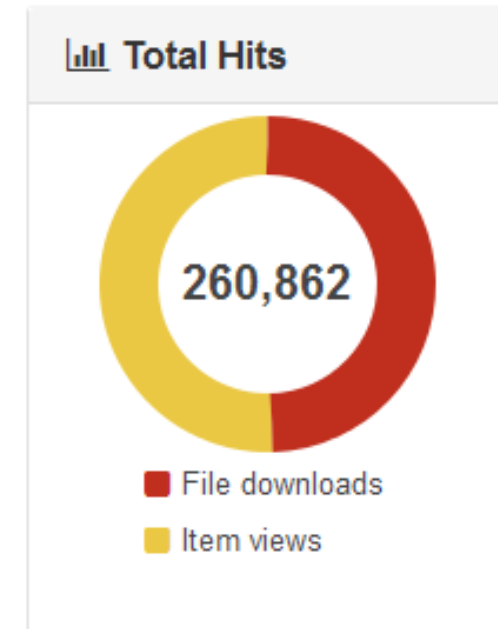
## University Library Faculty and Staff Research

**Browse by**

- [By Issue Date](#)
- [Authors](#)
- [Titles](#)
- [Subjects](#)
- [By Submit Date](#)

Search within this collection:

This collection includes scholarly works such as pre-prints, post-prints, articles, and conference presentations authored by IUPUI University librarians and staff.



349 works

<https://scholarworks.iupui.edu/handle/1805/27>



## 2. Advocacy: Build Relationships



Goal: An early adopter in every discipline.

Goal: A faculty OA advocate in every school on campus.

## 2.1 Advocacy: Relationships

Track the Growth in Your Readership & Citation Rates



***Peter H. Schwartz, MD, PhD***

Bioethicist

Dept. of Medicine

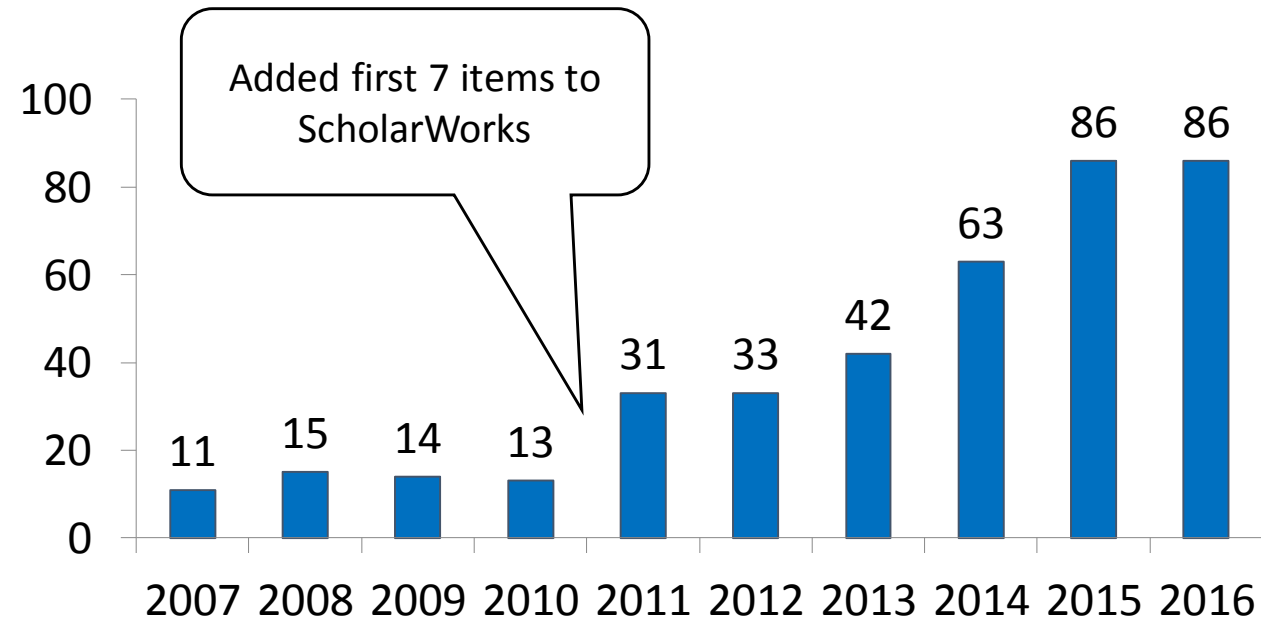
Dept. of Philosophy

Items in ScholarWorks: 30

Downloads: **4,921**

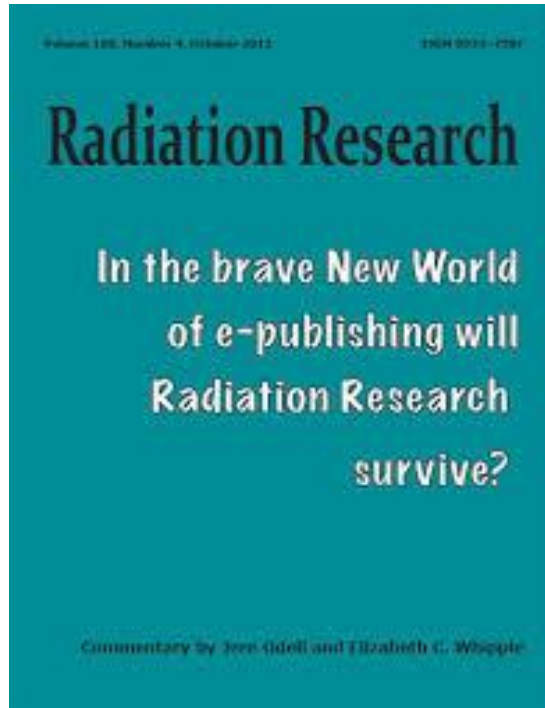
(Jan 1, 2010 to the present)

Citations received per year



## 2.2 Advocacy: Relationships improve the effort

Opposing voices are essential.



Odell, J., & Whipple, E. C. (2013). The Changing Landscape of Scholarly Publishing: Will Radiation Research Survive? *Radiation Research*, 180(4), 335–339.

<http://hdl.handle.net/1805/3639>

## 3.1 Advocacy: Develop a message



- How will the potential OA policy benefit the faculty?
- How will the potential OA policy benefit readers?
- How does the policy align with the mission of the school, department, center, lab ...?

## 3.2 Advocacy: Stay on message



- Address risks/costs & be prepared to address how the risks/costs will shape implementation
- Use an FAQ (memorize the FAQ)
- Lean on the low risks/high returns or your early adopters
- Point to successful implementations (Harvard, MIT, Kansas, ...)
- Return to the benefits (***it's not about the library***)

Suggested Reading: Duranceau, E. F., & Kriegsman, S. A. (2013). Implementing Open Access Policies Using Institutional Repositories. In P. Bluh & C. Hepfer (Eds.), *The Institutional Repository: Benefits and Challenges* (pp. 75–97). Chicago: American Library Association. Retrieved from <http://dash.harvard.edu/handle/1/10202474>

# Open Access Policy Development

(Use the model: <https://osc.hul.harvard.edu/modelpolicy/>)

(Join COAPI: <http://sparcopen.org/coapi/>)



# 1. Policy Development: Governance

Know your faculty governance

Calendars - Committees

**People**





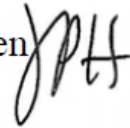
## 2. Policy Development: Seize opportunities

EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF SCIENCE AND TECHNOLOGY POLICY  
WASHINGTON, D.C. 20502

February 22, 2013

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: John P. Holdren  
Director



SUBJECT: Increasing Access to the Results of Federally Funded Scientific Research

### 3. Policy Development: Expect “delays”




Parking operations merging across campuses: <http://inside.iupui.edu/headlines/2015-10-20-headline-parking-merger.shtml>

# The Vote



# Implementation of the IUPUI OA Policy

 INDIANA UNIVERSITY–PURDUE UNIVERSITY INDIANAPOLIS







Login

**Open Access @ IUPUI**

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## IUPUI Open Access Policy

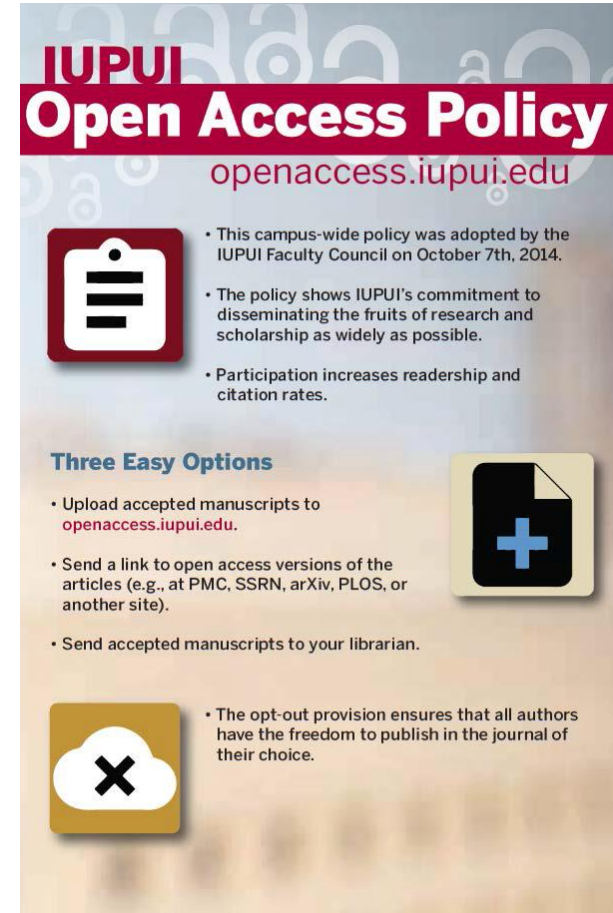
The IUPUI Faculty Council adopted an open access policy on October 7th, 2014. This policy shows IUPUI's commitment to disseminating the fruits of research and scholarship as widely as possible. Open access policies increase authors' rights, readership and citation rates for scholarly articles. The opt out provision ensures that all faculty authors have the freedom to publish in the journal of their choice.

 <b>Deposit Your Article</b> Upload the accepted manuscript of your scholarly article.	 <b>Opt Out / Embargo</b> Upload the accepted manuscript to select an embargo date or to opt out for an article.	 <b>Get a Waiver</b> Generate a signed letter to verify an article's exemption from the policy.
 <b>OA Policy</b> Read the IUPUI Open Access Policy.	 <b>OA Policy FAQ</b> Learn about the features of the policy.	 <b>Contact</b> Ask questions. Get help.

<https://openaccess.iupui.edu/>

# Introducing & Integrating the Policy

- Email announcement to every faculty member
- Post card in every faculty mailbox
- Some local “press releases”
- Pilot implementation in the School of Nursing
- Inclusion in strategic plans
- Supplemented with supporting policies & services
  - P&T guidelines
  - Staff policy
  - P&T workshops
  - OA fund
  - Altmetrics



**IUPUI**  
**Open Access Policy**  
[openaccess.iupui.edu](http://openaccess.iupui.edu)

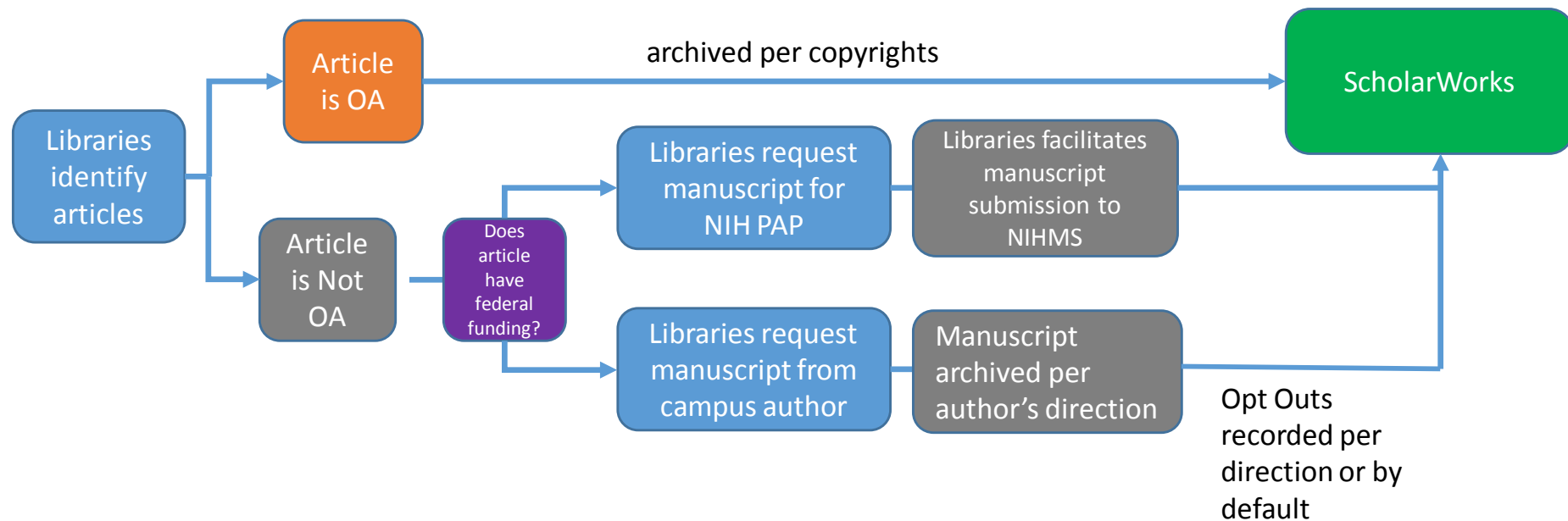
- This campus-wide policy was adopted by the IUPUI Faculty Council on October 7th, 2014.
- The policy shows IUPUI's commitment to disseminating the fruits of research and scholarship as widely as possible.
- Participation increases readership and citation rates.

**Three Easy Options**

- Upload accepted manuscripts to [openaccess.iupui.edu](http://openaccess.iupui.edu).
- Send a link to open access versions of the articles (e.g., at PMC, SSRN, arXiv, PLOS, or another site).
- Send accepted manuscripts to your librarian.

- The opt-out provision ensures that all authors have the freedom to publish in the journal of their choice.

# Implementation (Identify – Notify – Deposit)



Suggested reading:

Kipphut-Smith, S. (2014). "Good Enough": Developing a Simple Workflow for Open Access Policy Implementation. *College & Undergraduate Libraries*, 21(3–4), 279–294.

<http://hdl.handle.net/1911/77630>

# Identify

Goal: identify 80% of articles and notify within 100 days of publication

- Roughly 3,000 articles per year require “triage”
- We expect that 2,300 will be OA policy eligible





# Current Approach for Identifying Articles

- 1) Scopus Affiliation Search + automated (SHERPA RoMEO & PMC API's) & human triage
- 2) PMC Search for affiliation OR zip code
- 3) Customized Google Scholar searching by author (performed twice per year by some subject librarians)

# Example Searches

## **Scopus**

((AF-ID("Indiana University-Purdue University Indianapolis" 60024609)) OR (AF-ID("Indiana University School of Medicine Indianapolis" 60021947)) OR (AF-ID("Indiana University School of Dentistry" 60031692)) OR (AF-ID("Indiana University School of Law Indianapolis" 60013712))) AND (LIMIT-TO(DOCTYPE,"ar" ) OR LIMIT-TO(DOCTYPE,"ip" ) OR LIMIT-TO(DOCTYPE,"re" ) OR LIMIT-TO(DOCTYPE,"cp" ) )

## **PMC Search (for month of Oct. 2015)**

(Indiana University School of Medicine[affiliation] OR 46202[affiliation] OR iupui[affiliation]) AND ("2015/10/01"[PmcLiveDate]:"2015/10/31"[PmcLiveDate])

# Outcomes

<https://scholarworks.iupui.edu/handle/1805/3272>

Articles archived to date: 2,569

Response rate to requests for participation:

- 2015: 47%
- July 2016 - present: 52% (43% respond with manuscript; 9% opt out)

Percentage of articles published in 2015 (archived in 2016/Scopus search for published 2015):

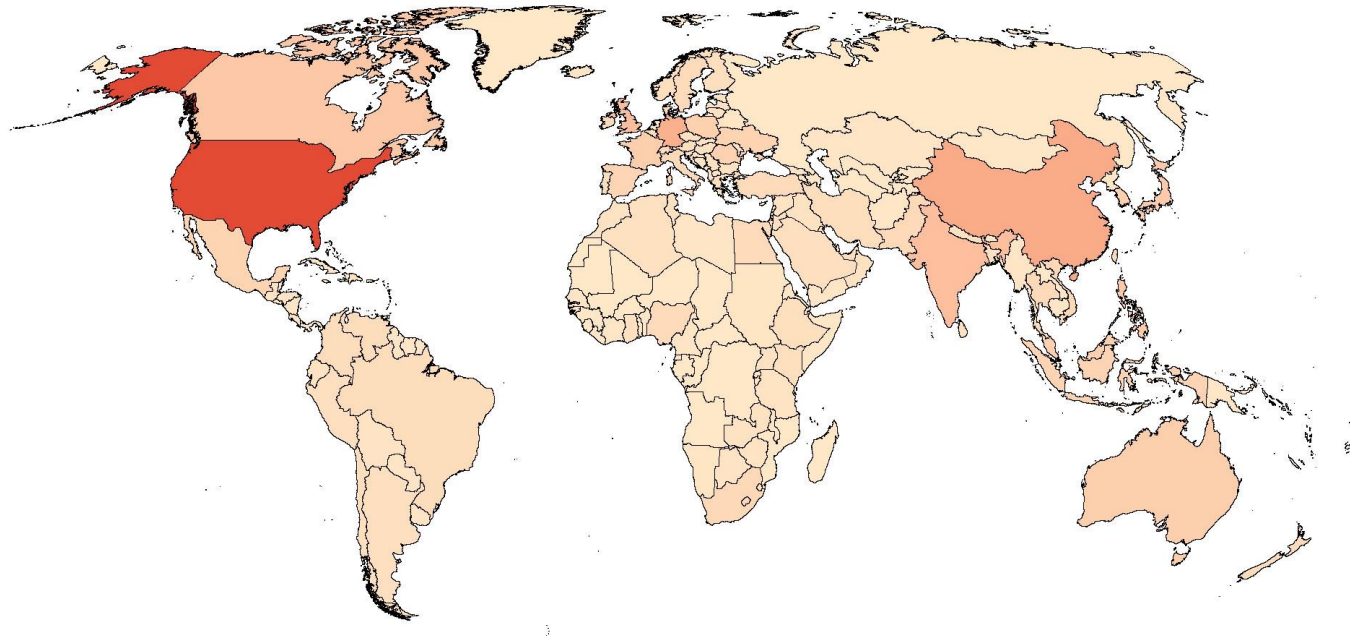
- 69% (1,915/2,775) ← “BHAG”!

# Use of IUPUI OA Policy Articles

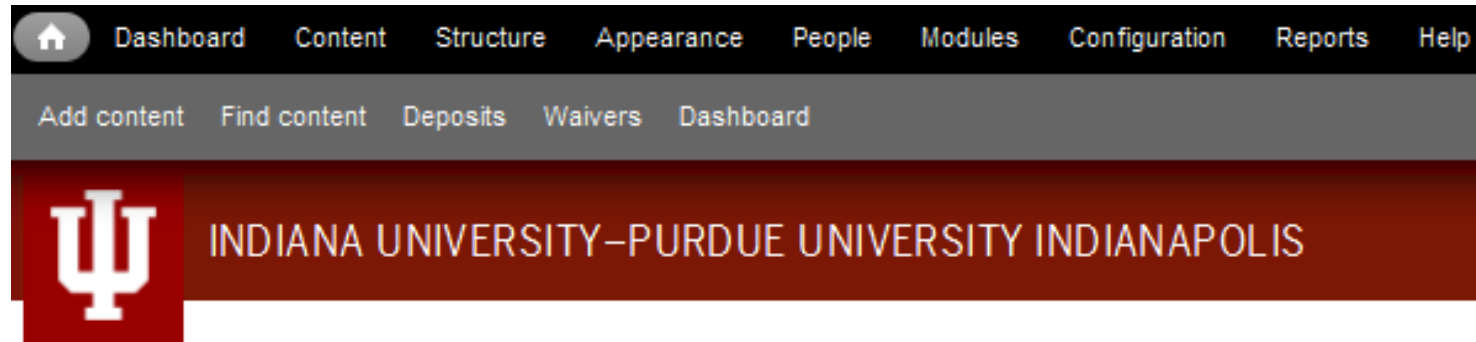
69,000 visits

45,000 downloads

From over 190 countries



# What's Next?



## Open Access @ IUPUI

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### IUPUI Open Access Policy

# References

- COAPI. 2016. Coalition of Open Access Policy Institutions (COAPI). SPARC. <http://www.sparc.arl.org/COAPI>
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- Dill E, Petsche KF, Palmer, KL. 2005. What's the Big IDeA: Institutional Digital Repositories @ Your Library. Association of College and Research Libraries 2005 Conference in Minneapolis, Minnesota. <http://hdl.handle.net/1805/224>
- Duranceau EF & Kriegsman SA. 2013. Implementing Open Access Policies Using Institutional Repositories. In P. Bluh & C. Hepfer (Eds.), *The Institutional Repository: Benefits and Challenges* (pp. 75–97). Chicago: American Library Association. <http://dash.harvard.edu/handle/1/10202474>
- Kipphut-Smith S. 2014. “Good Enough”: Developing a Simple Workflow for Open Access Policy Implementation. *College & Undergraduate Libraries*, 21(3–4), 279–294. <http://hdl.handle.net/1911/77630>
- Lewis, David. W. 2004, Dec. 7. *A Demand-Side View of the Future of Library Collections*. Fall 2004 Coalition for Networked Information Task Force Meeting, Portland, OR.
- National Bioethics Advisory Commission. *Cloning Human Beings*. Vol. 1, June 1997. <http://hdl.handle.net/1805/18>
- Odell J, Whipple EC. 2013. The Changing Landscape of Scholarly Publishing: Will Radiation Research Survive? *Radiation Research*, 180(4), 335–339. <http://hdl.handle.net/1805/3639>
- Truesdell CB, Thompson K, and Michaels S. 2010. Raising the Profile of IU Scholarship: Institutional Repositories (and more) at IU. Presented at Statewide IT Conference 2010, Bloomington, IN. [http://opus.ipfw.edu/lib\\_facpres/22](http://opus.ipfw.edu/lib_facpres/22)
- Shieber, SM. 2016. “Model Open Access Policy.” *Harvard OSC*. <https://osc.hul.harvard.edu/modelpolicy/>

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